



**STATE OF MONTANA
DEPARTMENT OF CORRECTIONS
POLICY DIRECTIVE**

Policy No. DOC 1.2.17	Subject: DEPARTMENT GRANTS AND ASSISTANCE MANAGEMENT
Chapter 1: ADMINISTRATION AND MANAGEMENT	Page 1 of 4 and Attachments
Section 2: Fiscal Management	Effective Date: April 1, 1997
Signature: /s/ Mike Ferriter, Director	Revised: 07/24/12

I. POLICY

The Department of Corrections manages pre-award and post-award activities associated with federal, state, and private assistance including grants, cooperative agreements, and technical assistance and facilitates grants management as a collaborative effort between the Department facility or program receiving the award and Department grant staff.

II. APPLICABILITY

All divisions, facilities, and programs Department-owned and contracted, as specified in contract.

III. DEFINITIONS

Cooperative Agreement – Federal assistance involving substantial government participation in programmatic work under an award; differentiated from grants by the level of federal involvement.

Grant – A monetary award from a federal or state agency or a private foundation used to fund a specific program or to offset costs incurred because of certain activities.

Grants Accountant (GA) – The position responsible for the fiscal management of grant-related activities.

Grants Manager (GM) – The position that coordinates grant-related activities for the Department, maintains contact with federal and state funding agencies, supports grant application efforts, and reviews grant funded programs for fiscal and program compliance with grantor regulations.

In-Kind Support - Contributions to a project in lieu of cash support, e.g., committing paid Department employee time to a project.

Interagency Agreements – Arrangements entered into and negotiated by two or more governmental units or agencies.

Letter of Support – Written endorsement by a Department employee supporting a project within or outside of Department activities.

Match – The grant recipient's share of a project costs including "in-kind" or "cash" that correspond with the value of donated services.

Program Manager (PM) – The lead on a grant, generally a field expert and/or administrator, responsible for implementing programmatic requirements and meeting grant conditions.

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Request For Proposal (RFP) – A request from a federal or state agency or a private foundation that asks potential grantees to submit applications or proposals about programs they wish to have funded.

Subaward - Monetary financial assistance to an eligible subrecipient made under an award by a recipient.

Supplant - To deliberately reduce allocated state or local funds in favor of federal funds awarded for the same purpose.

Technical Assistance (TA) – Services provided by a federal or state agency or a private foundation to help the Department develop or improve programs.

IV. DEPARTMENT DIRECTIVES

A. Grants and Assistance Management Objectives

1. The Department will actively pursue non-general fund resources to promote activities or projects consistent with the Department's mission.
2. The Department director and division administrators will stay informed regarding potential funding opportunities for topics or projects.
3. Grant staff and subject matter experts will review grant proposals.
4. Pre-award activities will include identifying needs, proposing a concept internally, locating potential resources, considering administrative drawbacks the resources may have, securing authority, and designing and submitting an application.
5. Post-award activities include accepting the award, providing key staff with an orientation, implementing the grant project, establishing internal controls, reporting performance data as required, and closing out the grant.
6. Grant staff will:
 - a. monitor grant-funded activities to ensure funds are used in accordance with regulations including ensuring that supplanting does not occur;
 - b. provide direction and guidance to the PM regarding grant reporting, monitoring, and timely submissions;
 - c. submit all required financial and narrative reports to the funding agency in a timely manner;
 - d. maintain a current listing of federal assistance awarded to the Department;
 - e. maintain complete electronic files for all Department federal assistance;
 - f. remain informed of all grant involvement of the Department, e.g., subawards, in-kind contributions, letters of support and interagency agreements.

B. Grants and Assistance Management

1. The PM will:
 - a. coordinate with the appropriate budget analyst to define program needs unmet through current available funding resources;
 - b. submit abstract proposals for projects requiring federal financial support to the GM;

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- c. review federal assistance opportunities and work with the GM on potential funding opportunities;
 - d. develop the scope of the grant narrative, including the program description;
 - e. monitor all items listed in the grant award, including but not limited to goals, objectives, performance measures, implementation, budget management and policies;
 - f. coordinate with the GM and GA to determine the accuracy of expenditures and propose grant adjustment requests relating to the project scope and budget;
 - g. prepare program narrative reports according to federal requirements and submit to the GM for review and submission;
 - h. attend regularly scheduled meetings with the GM and GA to review progress of grant activities;
 - i. proactively identify issues of concern and notify the GM, GA, and/or administrator;
 - j. submit corrective action plans to the GM for identified compliance issues;
 - k. engage the GM and GA when clarification regarding grant requirements is needed; and
 - l. complete the final grant closeout, in coordination with the GM and GA.
2. The GM will:
- a. develop and maintain a network of potential public and private funding sources;
 - b. review abstract proposals submitted by division administrators;
 - c. research funding opportunities that correspond with verified Department needs;
 - d. notify the director, management team, and appropriate administrator of funding opportunities;
 - e. provide advisement and guidance to the management team regarding proposals including the most appropriate submission in the case of conflicting project proposals for the same funding;
 - f. seek authority from the management team to apply for federal assistance;
 - g. assist with the pre-award and post-award processes including participation in work groups, clarifying proposal scope, and contributing to application contents;
 - h. ensure application compliance with RFP requirements;
 - i. submit applications on behalf of the Department;
 - j. monitor program compliance with conditions specified in the grant;
 - k. collaborate with the GA to provide quarterly program and fiscal status reports to the program managers of grant-funded projects;
 - l. identify issues of concern and suggest corrective action;
 - m. review and submit, in collaboration with the GA, required program and fiscal progress reports;
 - n. prepare and submit, in collaboration with the GA, grant adjustments and budget modifications to awarding agencies as indicated;
 - o. increase public awareness of grant activities in coordination with the Department communications director; and
 - p. maintain a list of federal assistance awarded to the Department.
3. The GA will:
- a. assist with the pre-award process by reviewing abstract proposals, participating in work groups, and developing the application's budget proposal;

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- b. submit award documentation to budget analysts for submission of a budget change document (BCD) to the Office of Budget and Program Planning;
- c. monitor all expenditures of federal funds and follow appropriate cash management policies and procedures;
- d. provide ongoing technical assistance to grant managers related to fiscal management;
- e. prepare quarterly financial status reports for each grant-funded program;
- f. identify issues of accounting/financial concern and suggest corrective action;
- g. review and submit all financial reports to the appropriate awarding agencies;
- h. prepare, in collaboration with the GM, budget modifications to awarding agencies as indicated; and
- i. prepare and submit the Department's Indirect Cost Rate (IDCR) proposal to its federal cognizant agency, US Department of Justice, which is used in all applicable federal assistance applications.
- j. collect data on match contributions, such as number of hours contributed to grants, organizational coding, and other information.

V. CLOSING

Questions concerning this policy should be directed to the Department's grants manager.

VI. REFERENCES

- A. [53-1-203](#), MCA

VII. ATTACHMENTS

[Grants & Assistance Research Request](#) [PDF](#)
[Quarterly Grant Compliance](#) [PDF](#)
[Pre-Award Flowchart](#)
[Post-Award Flowchart](#)